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PTO/SB/21 (02-04)

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

**5**

Application Number	09/848639
Filing Date	MAY 3, 2001
First Named Inventor	SHELTON E. HARRISON, JR.
Art Unit	3628
Examiner Name	PEDRO KANOF
Attorney Docket Number	

**ENCLOSURES (Check all that apply)**

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): SIGNED DECLARATION OF NAMED INVENTOR DAVID SMITH: <i>Return Receipt Postcard</i>
Remarks REQUEST FOR REMOVAL OF INVENTOR WITH ACCOMPANYING SIGNED DECLARATION OF INVENTOR BEING REMOVED <i>Assignment with Declaration of David L. Smith - 2 pages</i>		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	SHELTON E. HARRISON, JR.
Signature	<i>[Signature]</i>
Date	<i>August 2, 2004</i>

**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	SHELTON E. HARRISON, JR.		
Signature	<i>[Signature]</i>	Date	<i>August 2, 2004</i>

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**FEE TRANSMITTAL**  
**for FY 2004**

Effective 10/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27.**TOTAL AMOUNT OF PAYMENT** (\$ ) 130**Complete if Known**

Application Number 09/848639  
 Filing Date MAY 3, 2001  
 First Named Inventor SHELTON E. HARRISON, JR.  
 Examiner Name PEDRO KANOF  
 Art Unit 3628  
 Attorney Docket No.

**METHOD OF PAYMENT** (check all that apply)☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☐ Deposit Account:Deposit Account Number  
Deposit Account Name

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments☐ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 770	2001 385	Utility filing fee	
1002 340	2002 170	Design filing fee	
1003 530	2003 265	Plant filing fee	
1004 770	2004 385	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
<b>SUBTOTAL (1)</b> (\$ )			

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Total Claims  -20\*\* =  X  =   
 Independent Claims  -3\*\* =  X  =   
 Multiple Dependent  =

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
1202 18	2202 9	Claims in excess of 20
1201 86	2201 43	Independent claims in excess of 3
1203 290	2203 145	Multiple dependent claim, if not paid
1204 86	2204 43	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** (\$ )

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION** (continued)**3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for <i>ex parte</i> reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 420	2252 210	Extension for reply within second month	
1253 950	2253 475	Extension for reply within third month	
1254 1,480	2254 740	Extension for reply within fourth month	
1255 2,010	2255 1,005	Extension for reply within fifth month	
1401 330	2401 165	Notice of Appeal	
1402 330	2402 165	Filing a brief in support of an appeal	
1403 290	2403 145	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,330	2453 665	Petition to revive - unintentional	
1501 1,330	2501 665	Utility issue fee (or reissue)	
1502 480	2502 240	Design issue fee	
1503 640	2503 320	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	130
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 770	2809 385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 770	2810 385	For each additional invention to be examined (37 CFR 1.129(b))	
1801 770	2801 385	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$ ) 130**SUBMITTED BY**

Name (Print/Type) SHELTON E. HARRISON, JR. Registration No. Telephone 310-500-5593  
 Signature Date August 2, 2004

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.  
**SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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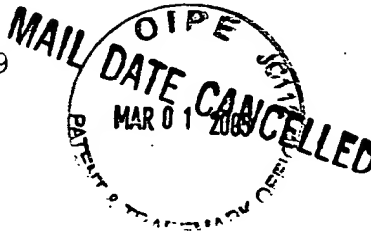
Patent application: ELECTRONIC BOND & GUARANTY PROCESS AND  
BUSINESS METHOD

Application Number: 09/848639

Filing Date: 5/3/2001

Art Unit: 3628

Examiner: Pedro Kanof



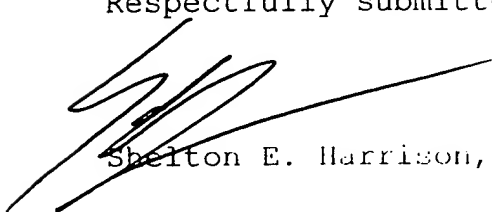
PRELIMINARY AMENDMENT: REQUEST TO DELETE INVENTOR

August 2, 2004

The applicant hereby requests correction of inventorship in the above-referenced application under 37 CFR §1.48(b). Specifically, as per the enclosed signed and notarized assignment and declaration of David Smith, Smith should be removed from the application as an inventor, as all claims pertaining to Smith's contribution to the invention (16-21, 57) have been removed and replaced in the amendment submitted March 31, 2004.

Please contact me if there are any defects in this submission.

Respectfully submitted,



Shelton E. Harrison, Jr.

310-500-5593

shel@epoet.com

Shelton E. Harrison, Jr.  
P.O. Box 461504  
West Hollywood, CA 90046

90-7162-3222

6204

Aug. 2 20 04

PAY TO  
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Commissioner for Patents

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Received @ USPTO:

- ① Transmittal form
- ② Fee Transmittal
- ③ Check for \$130
- ④ Request to remove inventor (1 page)
- ⑤ Declaration of David L. Smith (2 pages)

Received @ USPTO:

- ① Transmittal form
- ② Fee Transmittal
- ③ Check for \$130
- ④ Request to remove inventor (1 page)
- ⑤ Declaration of David L. Smith (2 pages)



Patent Assignment Agreement

**ASSIGNMENT OF INVENTION AND PATENT APPLICATION:**

**Sure-T LLC, David L. Smith, and Shelton E. Harrison, Jr.**

Sure-T LLC, a Delaware Limited Liability Company with a principal place of business at One Embarcadero Center, Fifth Floor, San Francisco California 94111, and David L. Smith, an individual domiciled in Tiburon, California (hereinafter "Assignors"), are owners of the entire right, title, and interest in U.S. Patent Application Serial No. 20010039524, (Serial No. 09/848,639), in the name of Shelton E. Harrison, Jr. and David L. Smith for "Electronic Bond & Guaranty Process and Business Method", and the invention described therein.

For good and valuable consideration, namely execution and performance of the settlement agreement and release of which this patent application assignment agreement is attached and made a part thereof, and other good and valuable consideration, receipt of which is hereby acknowledged, Assignors hereby sell and assign to Shelton E. Harrison, Jr., (hereinafter Assignee), an individual domiciled in California, and his successors, and assigns, the entire right, title, and interest in the aforesaid Patent Application Serial No. 20010039524 (Serial No. 09/848,639), and the invention described and claimed in it to be held and enjoyed by Assignee as fully and entirely as the same would have been held and enjoyed by Assignors if this assignment had not been made. Assignors further agree to promptly forward to Assignee all documentation, communications or information pertaining to the Intellectual Property they receive during the first year after the execution of this Amendment.

**DECLARATION OF FACTS:** David L. Smith, named as a co-inventor in the above referenced Patent Application, hereby declares that his complete and sole inventive contribution with respect to the invention described in said Patent Application was the idea of repeatedly preauthorizing credit cards. Smith further declares and agrees that if all claims pertaining to cyclical credit card preauthorization are denied or removed from the Patent Application, or any continuations or divisions thereof, his name as an inventor must and shall be removed from the Patent Application or derivative application without further notice to or approval of Smith.

[Continued on Next Page]

In testimony whereof, ASSIGNORS have caused this assignment to be signed by their duly authorized representatives this 6 day of June, 2003

Sure-T LLC

  
Signature of Authorized Representative of Sure-T LLC

MANAGING MEMBER

Title

David L. Smith

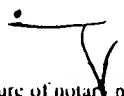
  
Individually

TABITHA CROWLEY  
State of NOTARY PUBLIC in and for the  
Cayman Islands  
County of Commission expires

On this 9<sup>th</sup> day of June, 2003 before me  
month year

personally appeared David Smith, who acknowledged himself to be the  
Managing Member of Sure-T LLC, a limited liability company, and who is personally known to me (or  
proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within  
instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature  
on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

  
Signature of notary public

